

06-04-01 A  
**GRAYCARY. TECHNOLOGY'S LEGAL EDGE<sup>SM</sup>**

4365 Executive Drive, Suite 1600  
 San Diego, CA 92121-2189  
 www.graycary.com  
 ☎ 858-638-6747  
 F) 858-677-1465

**UTILITY PATENT APPLICATION TRANSMITTAL**

(Only for new non-provisional applications under 37 CFR 1.53(b))

|   |                                |                      |
|---|--------------------------------|----------------------|
| Attorney Docket No.                       | LIGHT1960                      | C/M # 2101501-165382 |
| First Inventor or Application Identifier: | WENHUA LIN                     |                      |
| Title:                                    | TUNABLE DISPERSION COMPENSATOR |                      |
| Express Mail Label No.:                   | EL617045722US                  |                      |

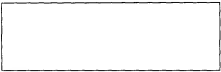
|  |  |
|--|--|
| <p><b>Application Elements</b><br/>                 (See MPEP chapter 600 concerning utility patent application contents)</p> <p>1. <input type="checkbox"/> Fee Transmittal Form<br/> <i>(Submit an original &amp; duplicate for fee processing)</i></p> <p>2. <input checked="" type="checkbox"/> Applicant claims small entity status</p> <p>3. <input checked="" type="checkbox"/> Specification [Total Pages <u>56</u>]<br/> <i>(preferred arrangement set forth below)</i></p> <ul style="list-style-type: none"> <li>• Descriptive title of the invention</li> <li>• Cross References to Related Applications</li> <li>• Statement Regarding Fed sponsored R&amp;D</li> <li>• Background of the invention</li> <li>• Brief Summary of the invention</li> <li>• Brief Description of the Drawings <i>(if filed)</i></li> <li>• Detailed Description</li> <li>• Claim(s)</li> <li>• Abstract of the Disclosure</li> </ul> <p>4. <input checked="" type="checkbox"/> Drawing(s) (35 USC 113) [Total sheets <u>32</u>]</p> <p>5. <input checked="" type="checkbox"/> Oath or Declaration [Total Pages <u>3</u>]</p> <p>a. <input type="checkbox"/> Newly executed (original or copy)</p> <p>b. <input type="checkbox"/> Copy from prior application (37 CFR 1.63(d))<br/> <i>(for continuations/divisional with Box 17 completed)</i></p> <p>i. <input type="checkbox"/> Deletion of Inventor(s)<br/> <i>Signed statement attached in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)</i></p> <p>6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p> | <p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table, or Computer Program (Appendix)</p> <p>8. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission <i>(if applicable, all necessary)</i></p> <p>a. <input type="checkbox"/> Computer Readable Form (CRF)</p> <p>b. <input type="checkbox"/> Specification Sequence Listing on:</p> <p>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</p> <p>ii. <input type="checkbox"/> paper</p> <p>c. <input type="checkbox"/> Statement verifying identity of above copies</p> <p><b>ACCOMPANYING APPLICATION PARTS</b></p> <p>9. <input type="checkbox"/> Assignment Papers (cover sheet &amp; document(s))</p> <p>10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power Of Attorney<br/> <i>(when there is an assignee)</i></p> <p>11. <input type="checkbox"/> English Translation Document (if applicable)</p> <p>12. <input type="checkbox"/> Information Disclosure Statement (IDS/PTO 1449) <input type="checkbox"/> Copies of IDS Citations</p> <p>13. <input type="checkbox"/> Preliminary Amendment (____ pgs.)</p> <p>14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(should be specifically itemized)</i></p> <p>15. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i></p> <p>16. <input checked="" type="checkbox"/> Express Mail Certification</p> <p>17. <input type="checkbox"/> OTHER: Check # _____ (\$ _____)</p> |
|--|--|

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

☐ Continuation ☐ Divisional ☐ Continuation-In-Part of prior application no.: \_\_\_\_\_

Prior application information: Examiner: \_\_\_\_\_ Group/Art Unit: \_\_\_\_\_

**18. CORRESPONDENCE ADDRESS**

|  |  |
|--|--|
| <input type="checkbox"/> Customer Number (25548)<br>Or Bar Code Label<br><input type="checkbox"/> Correspondence Address Below |  |
| NAME   | ATTN: Terrance A. Meador<br><b>GRAY CARY WARE &amp; FREIDENRICH</b>                |
| ADDRESS  | 4365 Executive Drive, Suite 1600<br>San Diego, CA 92121-2189                       |
| Telephone: 858/638-6747  | General Fax No.: 858-677-1477  |
| Patent Group Fax No.: 619/677-1465   |  |
| Name (print/type)  | Terrance A. Meador   |
| Registration No.: (Attorney/Agent)   | 30,298   |
| Signature  | Terrance A. Meador   |
| Date   | June 2001  |

PATENT ATTORNEY DOCKET NO.: LIGHT1960

The Patent and Trademark Office date stamp sets forth the receipt date of:

Applicant: WENJIA LIN

Application No.: Unknown

Filed: Herewith

Title: TUNABLE DISPERSION COMPENSATOR

Art Unit: Unknown

Examiner: Unknown

Batch No.: N/A

☒ Utility Patent Application Transmittal ☐ Petition for Month Extension of Time (pg.)

☒ Specification (56 pages total)

☒ Declaration for Patent Application (Unsigned)

☐ Check: \_\_\_\_\_

☒ Certificate of Express Mail - Label No. EL617045722US

☒ Drawings: 32 Sheets

☐ Certificate of Correction (pg.)

☐ Preliminary Amendment (pgs)

☐ Notice of Appeal (pgs.)

☒ Small Entity

☐ Appeal Brief (pg; 3 copies)

☐ Copies of Demand and Notification Concerning Submission

☐ Assignment/Recordal Cover Sheet (pg.)

☐ Copy of Notice to File Missing Parts

☐ Information Disclosure Statement (pg.)

☐ Form PTO-1449 (1 pg.)

☐ Number of Prior Art References:

☐ Declaration (pg.)

☐ Disk

Other: Return receipt postcard

Date Mailed: June 2001

Atty/Sec Initials: TAM/meg Client: LIGHTCROSS C/M 2101501-165382 Date Due: N/A

EL617045722US

"EXPRESS MAIL" MAILING LABEL NO. \_\_\_\_\_

DATE OF DEPOSIT: 1 JUNE 2001

I HEREBY CERTIFY THAT THIS PAPER OR FEE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE "EXPRESS MAIL POST OFFICE TO ADDRESSEE" SERVICE UNDER 37 CFR 1.10 ON THE DATE INDICATED ABOVE AND IS ADDRESSED TO THE ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, D.C. 20231.

Mikhail Bayley

NAME

Mikhail Bayley

SIGNATURE

09872473-060101